



2020 Project Directors' Meeting  
Day 2 Afternoon  
Mid-Cycle Grantees





## Mid-Cycle Grantees





## Agenda and Objectives

- **Grant Requirements:** What are the nuts and bolts of proper grant management
- **Logic Models:** How to know if you are on track and what to do if you are not
- **Monitoring and Corrective Actions:** What to expect when you are expecting
- **Pipelines and Projections:** How to request NCEs and budget for slow-downs in charter school pipelines



# But first...

What are your questions?

What do you need to know to be  
successful in your grant?

What do you know you don't know?



# Also...

This is so much to know about proper grants management. This presentation is designed to hit the highlights. Please reach out to your Program Officer or the NCSRC if you have specific questions.

And now.... On with the Show.



Happy Groundhog's Day!





## Grant Requirements: A quick refresher



General  
Responsibilities



Working with your  
Program Officer



Internal Controls



Funding  
Restrictions



Use of Funds



Performance  
Reporting



## General Responsibilities

- Adhere to your State or organization accounting and financial management procedures
- Meet procurement standards
- Meet cash management standards
- Enable accurate financial and performance reporting in line with General Accepted Accounting Principles (GAAP)





## Working with your Program Officer

When to reach out

- Change of scope or key staff
- Transfer of funds (>10%)
- Budget revisions
- Changes to cost sharing (if applicable)
- Subawarding/transferring of the “work of the grant”





## Internal Control Requirements

- Grantees must (Section 200.303):
  - Comply with laws, terms & conditions
  - Establish & maintain internal controls that provide reasonable assurance that they are managing the grant in compliance with laws, terms & conditions
  - Evaluate their compliance
  - Act on non-compliance e.g., audit findings
  - Safeguard PII and sensitive information



## Funding Restrictions

- Charter schools that receive CSP funds directly from the Department for the same or substantially similar purposes are ineligible to receive funds from a State entity for the same purpose under section 4303 of the ESEA.
- These CSP programs include:
  - Charter Schools Program Grants for Replication and Expansion of High-Quality Charter Schools (84.282M)
  - Charter Schools Program Developer Grants for the Opening of New Charter Schools (84.282B)
  - Charter Schools Program Developer Grants for the Replication and Expansion of High-Quality Charter Schools (84.282E)



## Funding Limits Per School

FY15: \$750,000

FY16: \$800,000

FY17: \$900,000

FY18: \$ 1,250,000

FY19: \$1,500,000

FY20: \$1,500,000



## Use of Funds

Always consult your approved grant application and your program officer if you have specific questions about use of funds.



## Use of Funds (continued)

- a) Preparing teachers, school leaders, and specialized instructional support personnel, including through paying costs associated with—
  - (i) Providing professional development; and
  - (ii) Hiring and compensating, during the applicant's planning period specified in the application for funds, one or more of the following:
    - (A) Teachers,
    - (B) School leaders, and
    - (C) Specialized instructional support personnel.



## Use of Funds (continued)

- b) Acquiring supplies, training, equipment (including technology), and educational materials (including developing and acquiring instructional materials).
- c) Carrying out necessary renovations to ensure that a new school building complies with applicable statutes and regulations, and minor facilities repairs (excluding construction).
- d) Providing one-time, startup costs associated with providing transportation to students to and from the charter school.
- e) Carrying out community engagement activities, which may include paying the cost of student and staff recruitment.
- f) Providing for other appropriate, non-sustained costs related to the *replication or expansion of high-quality charter schools* when such costs cannot be met from other sources.



## Grant-Specific Uses

### CMO Grantees

- Grantees must use grant funds to replicate or substantially expand the charter school model or models for which the applicant has presented evidence of success. Grant funds must be used to carry out allowable activities, as described in section 5204(f)(3) of the ESEA ([20 U.S.C. 7221c\(f\)\(3\)](#)).

### CMO Grantees

- A grantee may use up to 20 percent of grant funds for initial operational costs associated with the expansion or improvement of the grantee's oversight or management of its charter schools, provided that (i) the specific charter schools being replicated or expanded under the grant are the intended beneficiaries of such expansion or improvement; (ii) such expansion or improvement is intended to improve the grantee's ability to manage or oversee the charter schools *replicated* or *expanded* under the grant; and (iii) the costs cannot be met from other sources.





## Grant-Specific Uses (continued)

### State Entity Grantees

- Under 4303(c)(1) State entities may not exceed 10% for administrative and technical assistance activities. No more than 3% may be spent on administrative costs and at least 7% **must** be spent on technical assistance activities
- State entities may provide technical assistance activities that:
  - 1) support eligible applicants and/or authorized public chartering agencies in carrying out the activities associated with opening and preparing for the operation of new and replicating high-quality charter schools or expanding high-quality charter schools.; and
  - 2) support work with authorized public chartering agencies in the State to improve authorizing quality, including developing capacity for, and conducting fiscal oversight and auditing of charter schools.



## Performance Reporting

- Submit annual & final performance reports
  - Valid & reliable data
  - Report on GPRA standards & indicators
- APRs are typically due in April
- Reports must be submitted by the Project Director in G5
- 4303(i) requires a report in year 3 of a 5 year grant and year 2 of a grant less than five years.
- FPRs are due 90 days after your performance period ends and must include the same report information required by statute under 4303(i).





## Are you demonstrating substantial progress toward grant objectives?





## Sub-Award Data Collection

- WestEd semi-annually collects information on awarded subgrants
  - school names and locations, NCES ID, LEA, CMO, EMO or authorizer (if applicable), performance period dates, amounts awarded.
- Allows for tracking of CSP fund use and analysis with other data systems and required reporting.



## Questions and Discussion





## Logic Models: The Project in the Mirror



Using your logic model



Updating your logic model



Understanding monitoring



## Does your logic model accurately reflect your grant project?





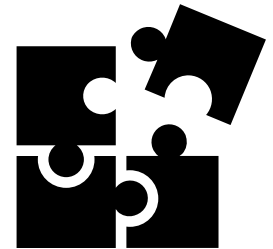
## Using your Logic Model

### What is a Logic Model?

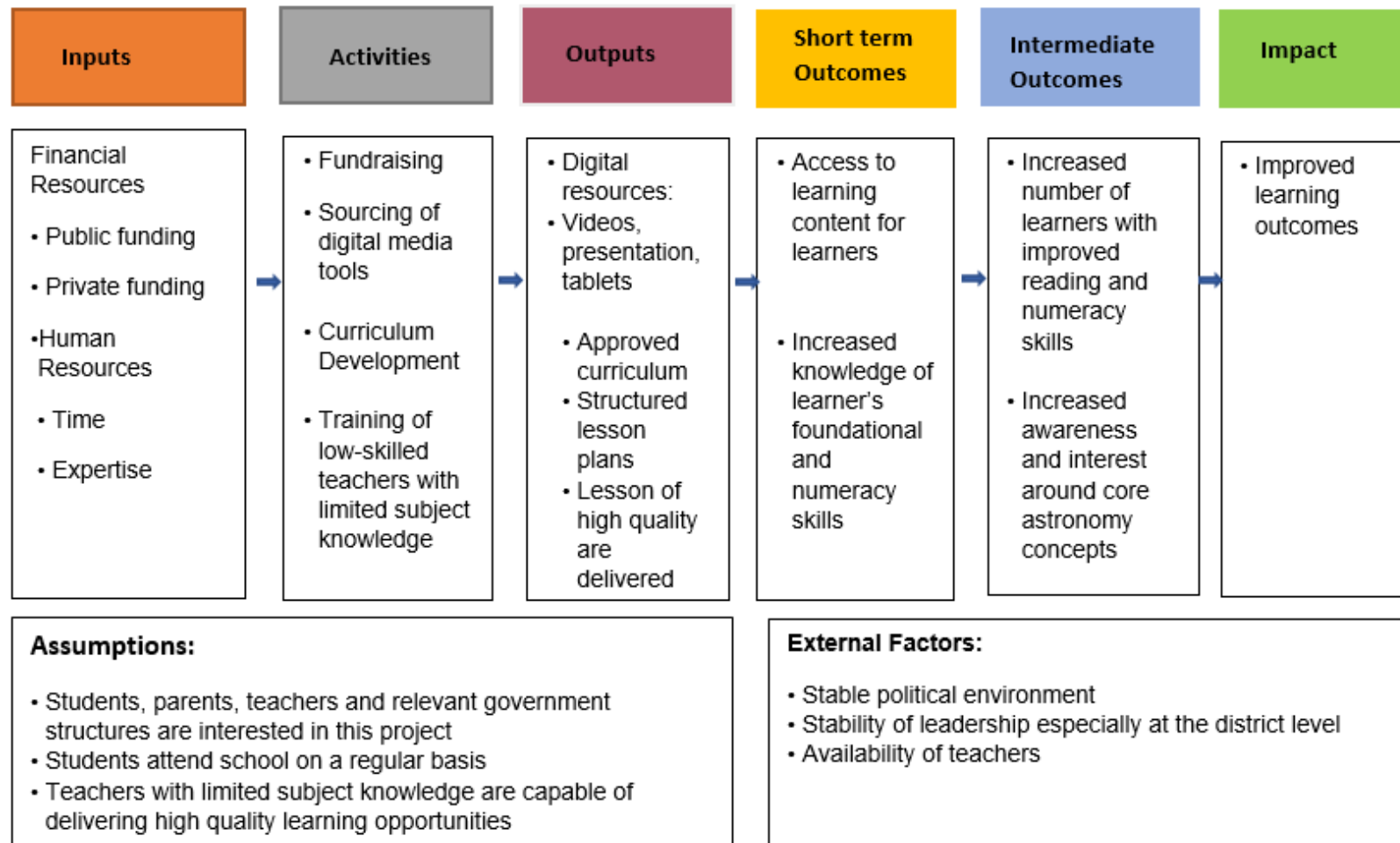
- “A logic model is a systematic and visual way to present and share your understanding of the **relationships** among the **resources** you have to operate your program, the **activities** you plan, and the changes or **results** you hope to achieve.” (W.K. Kellogg Foundation 2004)
- And also... the context in and assumptions with which you operate.

### What makes a good Logic Model?

- **Clarity** – Are the connections among elements clear and logical? Is level of detail appropriate?
- **Accuracy** – Does the model reflect the project? Is content complete?
- **Utility** – Is it useful?









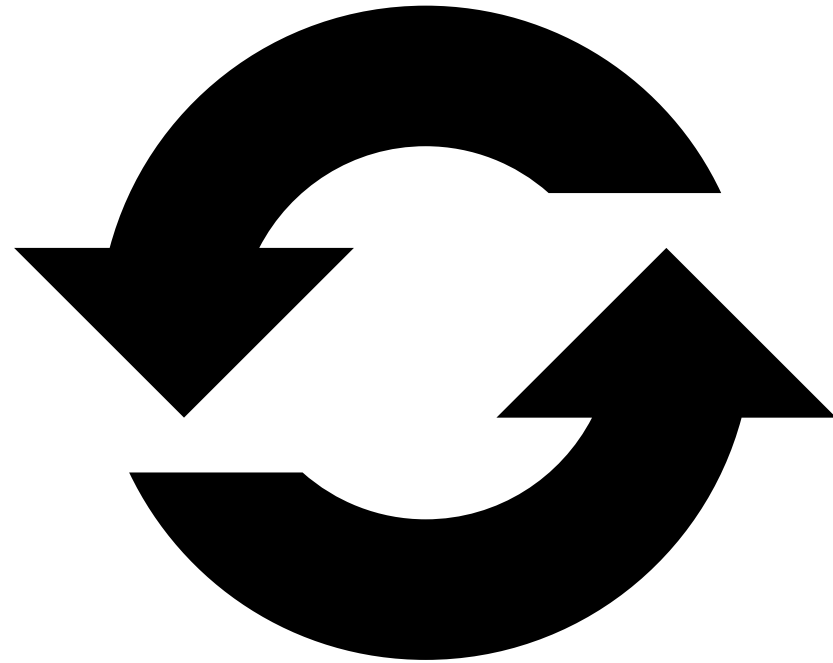
## Updating Logic Models

Know where you start

- Review your current logic model

Know what you can adjust (and what you can't)

- Revisions to clarify and strengthen are preferred
- Major changes should be done in conjunction with Program officer





# Monitoring and Corrective Actions: What to expect when your expecting



Definition and Eligibility



Approach



Grantee expectations



Secrets to Success



Corrective Action Approach



Identifying and Resolving Issues



## Monitoring Definition

### Monitoring is...

- a **continuous function** that uses the **systemic collection of data** on specified indicators to inform on an ongoing project with indications on the **extent of progress** and **achievement of objectives** and progress in the **use of allocated funds**

-- (OECD, 2002)

### *Monitoring is NOT...*

- *An evaluation*
- *An audit*
- *A gotcha!*
- *A witch-hunt*

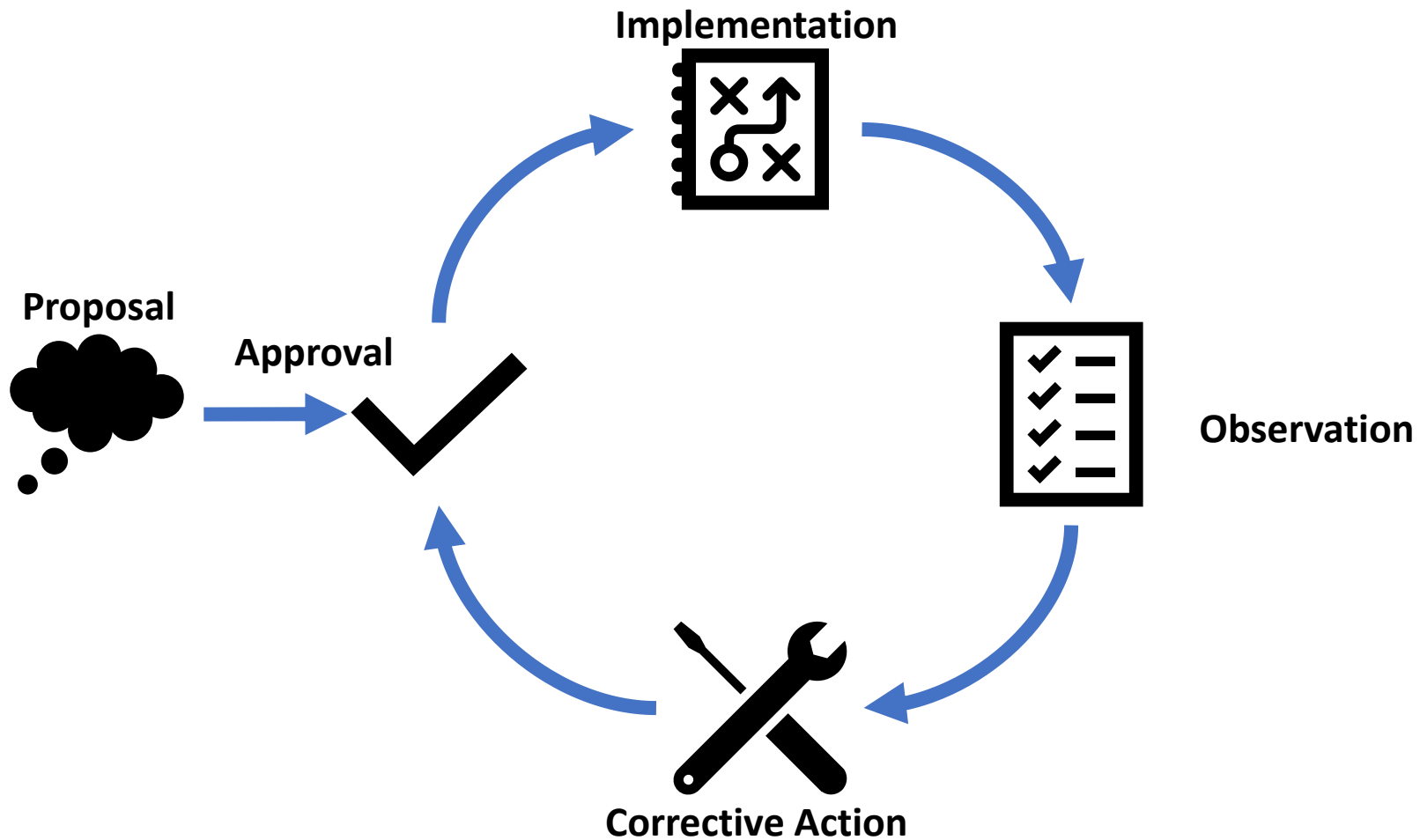


## Monitoring Eligibility

- All grantees are eligible for monitoring. HOORAY!
- Monitoring will typically occur at least once per grant cycle.
  - Under certain circumstances, grantees may be monitored more than once during a grant period.
- Monitoring activities includes site visits, remote visits, and desk monitoring
  - State Entity, CMO, and Credit Enhancement grantees are monitoring via site visits
  - Developer grantees are monitored via site visits and remote visits depending on risk review
  - National Dissemination grantees are monitored via desk monitoring from the Program Officer



## Monitoring Approach





## Grantee Expectations for Monitoring

### Prior to the Monitoring Visit

- Review Monitoring Handbook and grant application.
- Submit relevant project documentation.
- Create site visit schedules for interviews including central office and school(s).

### During the Monitoring Visit

- Project Directors must be present for all central office interviews.
- Central office staff do not attend school interviews.

### After visit

- Provide updated documentation, as requested.
- Review and provide feedback on monitoring report.



## Secrets to Success

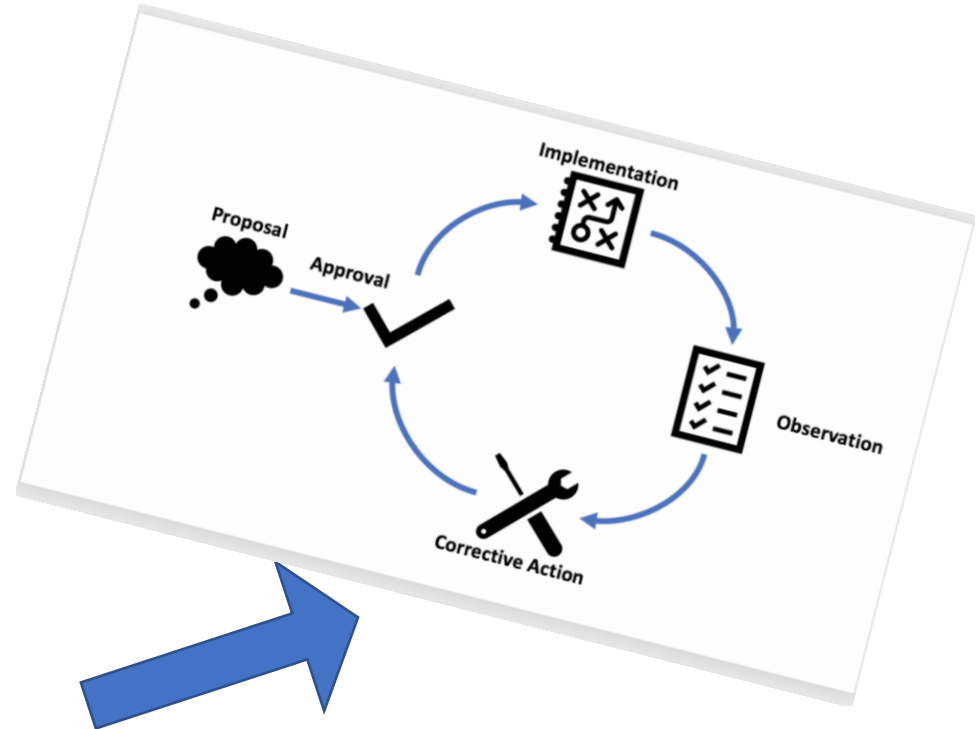
- **Use the resources provided** – WestEd staff is also available for individual consultation.
- **Share your documents early** – The team learns about your project and focuses questions during the visit.
- **Provide detailed responses** – The better the team understands your project, the better they'll be able to write about it in the report.
- **Keep an open mind** – Monitoring helps identify areas of strength and areas for improvement to ensure effective grant project implementation.





## Corrective Action Approach

- Corrective Action Plans are generated from implementation issues identified in monitoring reports.
- Grantees work with Program Officers to identify appropriate resolutions.





## Identifying and Resolving Issues

- All indicators not fully met in monitoring reports must have an associated corrective action.
- Grantees will work individually with Program Officers to determine corrective action needs.
- Corrective Action Plans must be resolved within one year.
- Technical assistance is available from the Resource Center to support grantees as they resolve identified issues.



## Questions and Discussion





## Pipelines and Projections: Keeping the grant moving



Continuation Awards



Time Extensions



Budget Modifications



## Continuation Funding

- Congress has appropriated sufficient funds under the program;
- The grantee has made substantial progress toward meeting the objectives of the project, or obtained approval of changes to the project activities from the program official in order to make substantial progress toward achieving project objectives in the future;
- The grantee has sent to ED every required report (including the APR);
- If applicable, following the monitoring site visit, the grantee has made satisfactory progress in addressing their Corrective Action Plan



## Continuation Funding

- The program staff has determined that continuing funding for the grant is in the best interest of the federal government (e.g., the program staff believe the project continues to serve the priorities of the program).
- The grantee has met the conditions of previous awards.
- The grantee's management practices and financial accounting systems are adequate to provide appropriate stewardship of federal funds.
- The grantee has submitted all required performance reports in a timely manner.



## Time Extensions

- In the final year of a grant...
  - One-time extension for up to one year with written notice.
- Written notice to program office is required:
  - No later than 10 days before project ends
  - State reasons for extension & revised end date

*If you are requesting a 2<sup>nd</sup> NCE that must be submitted no later than **60 days** before your grant is scheduled to end. Additional information is needed to process this request, consult with your program officer.*



## Time Extensions Restrictions

- Not just for using unexpended funds
- No additional federal funds
- No change to scope or objectives





## Budget Modifications

- Submit request, including a description and justification, identify how the funds are being moved to and from other budget line items, and how it aligns with what was included in the original application.
- Program Officer will review and may seek clarification or approval to grant the request.
- Grantee will be informed of decision. If the grantee's request is denied, the grantee has the ability to reallocate the proposed amount.



## Questions and Discussion





## Where can you find more help?

### **Phone a friend!**

Call or email your Program Officer

### **Ask the audience!**

Use the Exchange (for SEs)

### **Ask the host!**

Email the Resource Center [contact-us@charterschoolcenter.org](mailto:contact-us@charterschoolcenter.org)